

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Lu et al.Application No./Patent No.: 10/728,195 Filed/Issue Date: 12/3/2003

Entitled: POLYVALENT, PRIMARY HIV-1 GLYCOPROTEIN DNA VACCINES AND VACCINATION METHODS

University of a corporation  
Massachusetts, (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)  
 (Name of Assignee)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
 The extent (by, percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel (014658), Frame (0291), or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To \_\_\_\_\_  
 The document was recorded in the United States Patent and Trademark Office at  
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☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.  
 [NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

J. Peter Fasse  
 Signature  
J. Peter Fasse, 32,983  
 Printed or Typed Name  
Attorney for Applicant  
 Title

02-01-2011  
 Date  
(617) 542-5070  
 Telephone Number

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**POWER OF ATTORNEY TO PROSECUTE APPLICATIONS BEFORE THE USPTO**

I hereby revoke all previous powers of attorney given in the application identified in the attached statement under 37 CFR 3.73(b).

I hereby appoint:



Practitioners associated with the Customer Number:

26161

OR



Practitioner(s) named below (if more than ten patent practitioners are to be named, then a customer number must be used):

Name	Registration Number	Name	Registration Number

as attorney(s) or agent(s) to represent the undersigned before the United States Patent and Trademark Office (USPTO) in connection with any and all patent applications assigned only to the undersigned according to the USPTO assignment records or assignment documents attached to this form in accordance with 37 CFR 3.73(b).

Please change the correspondence address for the application identified in the attached statement under 37 CFR 3.73(b) to:



The address associated with Customer Number:

26161

OR

<input type="checkbox"/> Firm or Individual Name			
Address			
City	State	Zip	
Country			
Telephone	Email		

Assignee Name and Address:

University of Massachusetts  
333 South Street, Suite 400  
Shrewsbury, Massachusetts 01545

A copy of this form, together with a statement under 37 CFR 3.73(b) (Form PTO/SB/96 or equivalent) is required to be filed in each application in which this form is used. The statement under 37 CFR 3.73(b) may be completed by one of the practitioners appointed in this form if the appointed practitioner is authorized to act on behalf of the assignee, and must identify the application in which this Power of Attorney is to be filed.

**SIGNATURE of Assignee of Record**

The individual whose signature and title is supplied below is authorized to act on behalf of the assignee

Signature	<i>James P. McNamara</i>	Date	3/4/10
Name	James P. McNamara	Telephone	508-856-4390
Title	Executive Director, Office of Technology Management		

This collection of information is required by 37 CFR 1.31, 1.32 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

AUTHORIZATION TO COMPLETE STATEMENTS UNDER 37 C.F.R. 3.73(B)

University of Massachusetts authorizes the Practitioners of Fish & Richardson P.C. at Customer Number 26161 to complete any statements under 37 C.F.R. 3.73(b) that are required to be filed together with a Power of Attorney (form PTO/SB/80).

Signature: James P. McNamara Date: March 4, 2010

Typed Name: James P. McNamara

Title: Executive Director, Office of Technology Management

Assignee: University of Massachusetts



**UNITED STATES DEPARTMENT OF COMMERCE**  
**Patent and Trademark Office**  
ASSISTANT SECRETARY AND COMMISSIONER  
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MAY 27, 2004

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FISH & RICHARDSON P.C.  
225 FRANKLIN STREET  
BOSTON, MA 02110-2804

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

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PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 05/21/2004

REEL/FRAME: 014658/0291  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

LU, SHAN

DOC DATE: 04/27/2004

ASSIGNOR:

WANG, SHIXIA

DOC DATE: 04/27/2004

ASSIGNEE:

UNIVERSITY OF MASSACHUSETTS  
ONE BEACON STREET, 26TH FLOOR  
BOSTON, MASSACHUSETTS 02108

SERIAL NUMBER: 10728195

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ISSUE DATE:

TITLE: POLYVALENT, PRIMARY HIV-1 GLYCOPROTEIN DNA VACCINES AND VACCINATION  
METHODS

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PAULA MCCRAY, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

ASSIGNMENT

For valuable consideration, we, SHAN LU of Franklin, Massachusetts, and SHIXIA WANG of Northborough, Massachusetts, hereby assign to the UNIVERSITY OF MASSACHUSETTS, a corporation of Massachusetts having a place of business at One Beacon Street, 26th Floor, Boston, Massachusetts 02108, United States of America; and its successors and assigns (collectively hereinafter called "the Assignee"), the entire right, title and interest throughout the world in the inventions and improvements which are subject of an application for United States Patent signed by us, entitled POLYVALENT, PRIMARY HIV-1 GLYCOPROTEIN DNA VACCINES AND VACCINATION METHODS, filed December 3, 2003, and assigned U.S. Serial Number 10/728,195; this assignment including said application, any and all United States and foreign patents, utility models, and design registrations granted for any of said inventions or improvements, and the right to claim priority based on the filing date of said application under the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, the European Patent Convention, and all other treaties of like purposes; and we authorize the Assignee to apply in all countries in our name or in its own name for patents, utility models, design registrations and like rights of exclusion and for inventors' certificates for said inventions and improvements; and we agree for ourselves and our respective heirs, legal representatives and assigns, without further compensation to perform such lawful acts and to sign such further applications, assignments, Preliminary Statements and other lawful documents as the Assignee may reasonably request to effectuate fully this assignment.

IN WITNESS WHEREOF, I hereto set my hand and seal at University of Massachusetts  
[COUNTY, STATE]

this 27 day of April, 2004

Shan Lu L.S.  
SHAN LU

State of Massachusetts :  
: ss.

County of Worcester :

Before me this 27 day of April, 2004, personally  
appeared SHAN LU known to me to be the person whose name is subscribed to the foregoing  
Assignment and acknowledged that he executed the same as his free act and deed for the  
purposes therein contained.

Judith A. Mondor

Notary Public

My Commission Expires:

JANUARY 20, 2006

[Notary's Seal Here]

IN WITNESS WHEREOF, I hereto set my hand and seal at University of Massachusetts  
[COUNTY, STATE]

this 27 day of April, 2004

SHIXIA WANG L.S.

State of Massachusetts :

: ss.

County of Worcester :

Before me this 27 day of April, 2004, personally appeared SHIXIA WANG known to me to be the person whose name is subscribed to the foregoing Assignment and acknowledged that he executed the same as his free act and deed for the purposes therein contained.

Judith A. Mondor  
Notary Public

My Commission Expires: JANUARY 20, 2006

[Notary's Seal Here]